



Express Mail No. EV138525147US  
Date of Deposit: July 18, 2003

Atty Docket No. 24309-501

7/29/03  
PA  
8/A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5      Applicant:                  Mark Hoffman et al.  
      Serial No.:                  09/696,762  
      Filed:                        October 25, 2000  
      For:                         INVESTMENT ADVICE SYSTEMS AND METHODS  
      Examiner:                   Not Yet Assigned  
      Art Unit:                    3628

10

---

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
15    Alexandria, VA 22313-1450

PRELIMINARY AMENDMENT A

Sir/Madam:

20

Before examination of the above-identified application, please amend the application as follows.

RECEIVED  
JUL 22 2003  
GROUP 3600



Express Mail No. EV 138525147US  
Date of Deposit: July 18, 2003

07 - 2103

Attorney Docket No. 24309-501

3628

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark Hoffman et al.  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS  
Examiner: Not Yet Assigned  
Art Unit: 3628

10

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
15 Alexandria, VA 22313-1450

RECEIVED

JUL 22 2003

GROUP 3600

Sir:

20 Transmitted herewith for filing in the present application are the following documents:

[X] Preliminary Amendment A; and,  
[X] Return Postcard.

25 If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 617/542-6000, Boston, Massachusetts.

30 No fee is believed to be due at this time. However, if a fee is required, the Commissioner is hereby authorized to charge any such fee to the account of the undersigned, Deposit Account No. 50-0311, Ref. No. 24309-501. A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

35

*C. Eric Schulman Reg. No. 41,858*  
C. Eric Schulman, Reg. No. 43,350

*for*

Mintz, Levin, Cohn, Ferris,  
Glovsky and Popeo, P.C.  
One Financial Center  
Boston, MA 02111  
Telephone: (617) 348-3005  
Facsimile: (617) 542-2242  
40 Attorney for Applicants

40

45 Date: July 18, 2003

Correspondence should be addressed to customer number 30623.